



DEPARTMENT OF CORRECTIONS POLICIES AND PROCEDURES

Policy No.: DOC 1.5.7	Subject: CASE RECORD AUDITING
Chapter 1: ADMINISTRATION AND MANAGEMENT	Page 1 of 2
Section 5: Case Records / Good Time	Revision Date:
Signature: /s/ by Director 6/14/96	Effective Date: Oct. 1, 1996

I. POLICY:

It is the policy of the Montana Department of Corrections that regular audits will be conducted on all active offender case records.

II. AUTHORITY:

53-1-203, MCA. Duties and Responsibilities of the Department

III. DEFINITIONS:

None

IV. PROCEDURES:

- A. Every facility or program administered by or contracted with the Department will have in place written policies that provide for case record audits. The audits will be designed to ensure that records are current and that appropriate and accurate materials are being entered and maintained in offender files.
- B. All facility/program policies will address the frequency of case record audits, whom is authorized to conduct the audits, and the specific content of documents to be reviewed.

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When developing the procedures for conducting audits, every effort will be made to ensure compliance with Federal, State and Department guidelines.

- C. The content of all offender case records will be maintained in compliance with DOC 1.5.5, Case Records Management. Case record audits will refer to DOC 1.5.5 to ensure that the content and organization of offender case records are in compliance with Department requirements.
- D. Other information subject to audits may include, but is not be limited to, the following:
 - 1. offender classification information
 - 2. case notes
 - 3. case progress reviews
 - 4. incident and/or disciplinary reports
 - 5. treatment information
 - 6. medical records, and
 - 7. admission documents.
- E. The frequency of audits on offender case records will be determined by the individual programs and facilities; however, at a minimum, annual audits will be conducted on a representative sample of offender records.
- F. All audits will be conducted by a team comprised of staff from the facility or program and staff from other Department facilities or programs.

V. CLOSING:

Questions concerning this policy shall be directed to facility or program records office.